

**Electronic Filing System (EFS) Data**  
**Electronic Patent Application Submission**  
**USPTO Use Only**

EFS ID: 15119  
Application ID: 10063713  
Title of Invention: SECRETED AND TRANSMEMBRANE  
POLYPEPTIDES AND NUCLEIC  
ACIDS ENCODING THE SAME  
First Named Inventor: Dan Eaton  
Domestic/Foreign Application: Domestic Application  
Filing Date: null  
Effective Receipt Date: 2002-05-08   
Submission Type: Utility Patent Filing  
Filing Type: new-utility  
Confirmation Number: 0  
Attorney Docket Number: 10466/437  
Digital Certificate Holder: cn=Paul Rauch, ou=Registered Attorneys, ou=Patent and  
Trademark Office, ou=Department of Commerce, o=U.S.  
Government, c=US  
Certificate Message Digest: rGUVNEbnKHYoPWCvvsBp0A==  
Total Fees Authorized: \$740.0

Payment Category: CC – Credit Card  
Credit Card Number: \*\*\*\*1006  
Expiration Date: 05022004  
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RAM User ID: EFSPROD  
RAM Accounting Date: 2002-05-08  
RAM Sequence Number: 448988  
RAM Payment Status: RAM success  
Postal Code: 60611

# TRANSMITTAL FORM

JC474 US 5 PTO  
10/06/13  
06/06/02



Electronic Version 1.0.3

Stylesheet Version: 1.0

Attorney Docket  
Number: 10466/437

Submission Type: Utility Patent  
Filing

## SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE SAME

First Named Inventor: Dan L. Eaton

SUBMITTED BY

Name: Dr. Paul E. Rauch

Registration Number: 38591

Electronic Signature Mark: Paul E. Rauch  
Date Signed: 20020508

*I certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.*

*I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.*

**Attached Files:**

sequence-listing	Sequence_Listing_as_filed.txt
declaration	Declaration01.tif

declaration	Declaration02.tif
declaration	Declaration03.tif
declaration	Declaration04.tif
declaration	Declaration05.tif
declaration	Declaration06.tif
declaration	Declaration07.tif
declaration	Declaration08.tif
declaration	Declaration09.tif
declaration	Declaration10.tif
declaration	Declaration11.tif
declaration	Declaration12.tif
bibd-transmittal	10466437apds.xml
fee-transmittal	10466437fee.xml
specification	10466437.xml

**Attached Image File(s):**

- Declaration01.tif
- Declaration02.tif
- Declaration03.tif
- Declaration04.tif
- Declaration05.tif
- Declaration06.tif
- Declaration07.tif
- Declaration08.tif
- Declaration09.tif
- Declaration10.tif
- Declaration11.tif
- Declaration12.tif

**Comments:**

I hereby state that the Sequence Listing contained in the specification and drawings submitted herewith and the Sequence Listing attached hereto in .txt format is identical. I further state that this submission includes no new matter. The prior application is assigned of record to Genentech, Inc. REEL/FRAME 012377/0266; Recorded:12/06/2001

10063713  
\* 050800  
EUS

Docket No  
**COMBINED DECLARATION FOR PATENT APPLICATION  
AND POWER OF ATTORNEY**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if two or more names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention.

**SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE S**

the specification of which (check one)  is attached hereto or, was filed on, as Application Serial No. and was as applicable.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with 35 U.S.C. 119(e) and 37 CFR 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s) listed below and have also identified below any foreign application for patent or inventor's certificate of priority filed before that of the application on which priority is claimed:

Prior Foreign Application(s):

Prior  
Yes

Number	Country	Day/Month/Year Filed
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I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional applications(s) listed below:

**Please see attached Appendix A (Listing 87 U.S. Provisional Patent Applications)**

Application Ser. No.	Filing Date
----------------------	-------------

I hereby claim the benefit under Title 35, United States Code, §120 of any United States applications(s) listed below as the subject matter of each of the claims of this application is not disclosed in the prior United States application provided by the first paragraph of Title 35, United States Code, §112. I acknowledge the duty to disclose material I defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior application and the filing date of this application:

**Please see attached Appendix B (Listing 20 U.S. applications and 27 PCT applications)**

Application Ser. No.	Filing Date	Status: Patented, Pending, Abandon
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Application Ser. No.	Filing Date	Status: Patented, Pending, Abandon
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**POWER OF ATTORNEY:** As a named inventor, I hereby appoint all Attorney(s) and/or Agent(s) associated with the Patent Office issued Customer Number to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.



09157

PATENT TRADEMARK OFFICE

Paul E. Rauch, Registration No. 38,591, CUSTOMER NUMBER: 28,442

## Send correspondence to:

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 Telephone: 312-321-4780  
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 Email: prauch@brinkshofer.com

I hereby declare that all statements made herein of my own knowledge and belief are believed to be true; and further that these statements w/ knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the U.S. and that willful false statements may jeopardize the validity of the application or any patent issued thereon.

The undersigned hereby authorizes the U.S. attorney or agent named herein to accept and follow instructions from his foreign patent代理人 to any action to be taken in the Patent and Trademark Office regarding this application without direct communication between the U.S. attorney or agent and the undersigned. In the event of a change in the persons from whom instructions may be taken, the U.S. attorney or agent herein will be so notified by the undersigned.

Full name of sole or first inventor

Dan L. Eaton *Dan Eaton*

10/2/01

Date

Inventor's signature

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Full name of second joint inventor, if any

Ellen Filvaroff

Inventor's signature

*Ellen Filvaroff*

10/1/01

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Mary E. Gerritsen

Inventor's signature

Date

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Citizenship  
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 South San Francisco, CA 94080

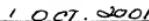
Full name of fourth joint inventor, if any

Audrey Goddard

Inventor's signature



Date



Residence

110 Congo Street, San Francisco, CA 94131

Citizenship

CA

Post Office Address

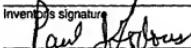
1 DNA Way

South San Francisco, CA 94080

Full name of fifth joint inventor, if any

Paul J. Godowski

Inventor's signature



Date



Residence

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Citizenship

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1 DNA Way

South San Francisco, CA 94080

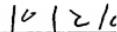
Full name of sixth joint inventor, if any

J. Christopher Grimaldi

Inventor's signature



Date



Residence

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Citizenship

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1 DNA Way

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Full name of seventh joint inventor, if any

Austin L. Gurney

Inventor's signature



Date



Residence

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Citizenship

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Post Office Address

1 DNA Way

South San Francisco, CA 94080

Full name of eighth joint inventor, if any

Colin K. Watanabe

Inventor's signature



Date

10-2-2001

Residence

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Citizenship

US

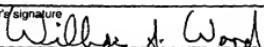
Post Office Address

1 DNA Way  
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Full name of ninth joint inventor, if any

William I. Wood

Inventor's signature



Date

10/2/01

Residence

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Citizenship

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Post Office Address

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South San Francisco, CA 94080

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100

Docket No. I

**COMBINED DECLARATION FOR PATENT APPLICATION  
AND POWER OF ATTORNEY**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if two or more names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention.

**SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE S/**

the specification of which (check one)  is attached hereto or  was filed on  as Application Serial No.  and was an International Application No.  and was filed on  as International Application No.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including all drawings and claims, and acknowledge that I am fully aware of the contents of the specification and drawings and have reviewed the claims and have fully understood the same.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with 37 CFR 1.56, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s) or provisional application(s) listed below and have also identified below any foreign application for patent or inventor's certificate of priority filed before that of the application on which priority is claimed:

Prior Foreign Application(s):

Prior  
Yes

Number	Country	Day/Month/Year Filed
<input type="text"/>	<input type="text"/>	<input type="text"/>

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional applications(s) listed below:

**Please see attached Appendix A (Listing 87 U.S. Provisional Patent Applications)**

Application Ser. No.	Filing Date
<input type="text"/>	<input type="text"/>

I hereby claim the benefit under Title 35, United States Code, §120 of any United States applications(s) listed below as the subject matter of each of the claims of this application is not disclosed in the prior United States application(s) or provided by the first paragraph of Title 35, United States Code, §112. I acknowledge the duty to disclose material information which occurred between the filing date of the prior application and the filing date of this application.

**Please see attached Appendix B (Listing 20 U.S. applications and 27 PCT applications)**

Application Ser. No.	Filing Date	Status: Patented, Pending, Abandoned
<input type="text"/>	<input type="text"/>	<input type="text"/>

Application Ser. No.	Filing Date	Status: Patented, Pending, Abandoned
<input type="text"/>	<input type="text"/>	<input type="text"/>

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint all Attorney(s) and/or Agent(s) associated with my name and my Patent Office Issued Customer Number to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.



09157

PATENT TRADEMARK OFFICE

Paul E. Rauch, Registration No. 38,591, CUSTOMER NUMBER: 28,442

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Chicago, IL 60611-5599  
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Facsimile: 312-321-4299  
Email: prauch@brinkshofer.com

I hereby declare that all statements made herein of my own knowledge and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the United States Code, and that willful false statements may jeopardize the validity of the application or any patent issued thereon.

The undersigned hereby authorizes the U.S. attorney or agent named herein to accept and follow instructions from his foreign patent agent to any action to be taken in the Patent and Trademark Office regarding this application without direct communication between the U.S. attorney or agent and the undersigned. In the event of a change in the persons from whom instructions may be taken, the U.S. attorney or agent herein will be so notified by the undersigned.

Full name of sole or first inventor

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Full name of second joint inventor, if any

Ellen Filvaroff

Date

Residence

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Citizenship

US

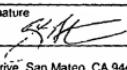
Post Office Address

1 DNA Way  
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Full name of third joint inventor, if any

Mary E. Geritsen

Date

Inventor's signature 

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Full name of fourth joint inventor, if any

Audrey Goddard

Inventor's signature

Date

Residence

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Post Office Address

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Full name of fifth joint inventor, if any

Paul J. Godowski

Inventor's signature

Date

Residence

25 Orange Court, Hillsborough, CA 94010

Citizenship

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Full name of sixth joint inventor, if any

J. Christopher Grimaldi

Inventor's signature

Date

Residence

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Citizenship

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Full name of seventh joint inventor, if any

Austin L. Gurney

Inventor's signature

Date

Residence

1 Debbie Lane, Belmont, CA 94002

Citizenship

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Post Office Address

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South San Francisco, CA 94080

Full name of eighth joint inventor, if any

Colin K. Watanabe

---

**Inventor's signature**

Date

## Residence

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### Citizenship

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**Post Office Address**

## 1 DNA Way

1. *What is the primary purpose of the study?*

MARCH 1990

---

Instructor's signature

84

### Background

**Residence**

### Citizenship

115

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**Post Office Address**

Post Office Address  
1 DNA Way

**APPENDIX A**

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional applications

1. 60/063435 Filed 10/29/97
2. 60/064215 Filed 10/29/97
3. 60/082797 Filed 4/22/98
4. 60/083495 Filed 4/29/98
5. 60/085579 Filed 5/15/98
6. 60/087759 Filed 6/2/98
7. 60/088021 Filed 6/4/98
8. 60/088029 Filed 6/4/98
9. 60/088030 Filed 6/4/98
10. 60/088734 Filed 6/10/98
11. 60/088740 Filed 6/10/98
12. 60/088811 Filed 6/10/98
13. 60/088824 Filed 6/10/98
14. 60/088825 Filed 6/10/98
15. 60/088863 Filed 6/11/98
16. 60/089105 Filed 6/12/98
17. 60/089514 Filed 6/16/98
18. 60/089653 Filed 6/17/98
19. 60/089952 Filed 6/19/98
20. 60/090246 Filed 6/22/98
21. 60/090444 Filed 6/24/98
22. 60/090688 Filed 6/25/98
23. 60/090696 Filed 6/25/98
24. 60/090862 Filed 6/26/98
25. 60/091628 Filed 7/2/98
26. 60/096012 Filed 8/10/98
27. 60/096757 Filed 8/17/98
28. 60/096949 Filed 8/18/98
29. 60/096959 Filed 8/18/98
30. 60/097954 Filed 8/26/98
31. 60/097971 Filed 8/26/98
32. 60/097979 Filed 8/26/98
33. 60/098749 Filed 9/1/98
34. 60/099741 Filed 9/10/98
35. 60/099763 Filed 9/10/98
36. 60/099792 Filed 9/10/98
37. 60/099812 Filed 9/10/98
38. 60/099815 Filed 9/10/98
39. 60/100627 Filed 9/16/98
40. 60/100662 Filed 9/16/98
41. 60/100683 Filed 9/17/98
42. 60/100684 Filed 9/17/98
43. 60/100930 Filed 9/17/98
44. 60/101279 Filed 9/22/98

46.	60/101738	Filed 9/24/98
47.	60/101743	Filed 9/24/98
48.	60/101916	Filed 9/24/98
49.	60/102570	Filed 9/30/98
50.	60/103449	Filed 10/6/98
51.	60/103678	Filed 10/8/98
52.	60/103679	Filed 10/8/98
53.	60/103711	Filed 10/8/98
54.	60/105000	Filed 10/20/98
55.	60/105002	Filed 10/20/98
56.	60/105881	Filed 10/27/98
57.	60/106030	Filed 10/28/98
58.	60/106464	Filed 10/30/98
59.	60/106856	Filed 11/3/98
60.	60/108807	Filed 11/17/98
61.	60/112419	Filed 12/15/98
62.	60/112422	Filed 12/15/98
63.	60/112853	Filed 12/16/98
64.	60/113011	Filed 12/16/98
65.	60/112854	Filed 12/16/98
66.	60/113300	Filed 12/22/98
67.	60/113408	Filed 12/22/98
68.	60/113430	Filed 12/23/98
69.	60/113621	Filed 12/23/98
70.	60/114223	Filed 12/30/98
71.	60/115614	Filed 1/12/99
72.	60/116527	Filed 1/20/99
73.	60/116843	Filed 1/22/99
74.	60/119285	Filed 2/9/99
75.	60/119287	Filed 2/9/99
76.	60/119525	Filed 2/10/99
77.	60/119549	Filed 2/10/99
78.	60/120014	Filed 2/11/99
79.	60/129122	Filed 4/13/99
80.	60/129674	Filed 4/16/99
81.	60/131291	Filed 4/27/99
82.	60/138387	Filed 6/9/99
83.	60/144791	Filed 7/20/99
84.	60/169495	Filed 12/7/99
85.	60/175481	Filed 1/11/00
86.	60/191007	Filed 3/21/00
87.	60/199397	Filed 4/25/00

**APPENDIX B**

I hereby claim the benefit under Title 35, United States Code, §120 of any United States applications listed below:

**US APPLICATIONS**

1. 09/380139 Filed 8/25/98
2. 09/311832 Filed 5/14/99
3. 09/380137 Filed 8/25/99 ABD
4. 09/380138 Filed 8/25/99 ABD
5. 09/380142 Filed 8/25/99 ABD
6. 09/397342 Filed 9/15/99
7. 09/403297 Filed 10/18/99 ABD
8. 09/423844 Filed 11/12/99 ABD
9. 09/644848 Filed 8/22/00
10. 09/665350 Filed 9/18/00
11. 09/664610 Filed 9/18/00 ABD
12. 09/709238 Filed 11/8/00
13. 09/747259 Filed 12/20/00
14. 09/816744 Filed 3/22/01
15. 09/854208 Filed 5/10/01
16. 09/854280 Filed 5/10/01
17. 09/870574 Filed 5/30/01
18. 09/874503 Filed 6/5/01
19. 09/869599 Filed 6/29/01
20. 09/908,827 Filed 7/18/01

**PCT APPLICATIONS**

1. PCT/US98/19330 Filed 9/16/98
2. PCT/US99/05028 Filed 3/8/99
3. PCT/US99/10733 Filed 5/14/99
4. PCT/US99/12252 Filed 6/2/99
5. PCT/US99/20111 Filed 9/1/99
6. PCT/US99/21090 Filed 9/15/99
7. PCT/US99/21194 Filed 9/15/99
8. PCT/US99/30720 Filed 12/22/99
9. PCT/US00/04341 Filed 2/18/00
10. PCT/US00/04342 Filed 2/18/00
11. PCT/US00/04414 Filed 2/22/00
12. PCT/US00/05601 Filed 3/1/00
13. PCT/US00/08439 Filed 3/30/00
14. PCT/US00/14042 Filed 5/22/00
15. PCT/US00/15264 Filed 6/2/00
16. PCT/US00/23522 Filed 8/23/00
17. PCT/US00/23328 Filed 8/24/00
18. PCT/US00/30873 Filed 11/10/00
19. PCT/US00/32378 Filed 12/1/00
20. PCT/US00/34956 Filed 12/20/00

22.	PCT/US01/06666	Filed 3/1/01
23.	PCT/US01/17443	Filed 5/30/01
24.	PCT/US01/17800	Filed 6/1/01
25.	PCT/US01/19692	Filed 6/20/01
26.	PCT/US01/21066	Filed 6/29/01
27.	PCT/US01/21735	Filed 7/9/01

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# FEE TRANSMITTAL

Electronic Version 1.1.0

Stylesheet Version: 1.0

*Patent fees are subject to annual revisions on or about October 1st of each year.*

Large Entity

**TOTAL FEES AUTHORIZED: \$ 740**

## BANK (CREDIT) CARD INFORMATION:

Credit Card Number:	1006
Expiration Date:	20040502
Authorized Name:	M HOFFMAN 10466/437
Billing Address:	60611

## BASIC FILING FEE

Fee Description	Fee Code	Fee Paid
Utility Filing Fee	101	\$ 740

Subtotal For Basic Filing Fee: \$ 740

## EXTRA CLAIM FEES

	Fee Code	Fee	Extra Claims	Fee Paid
Total Claims: 20	103	\$ 18	0	\$ 0
Independent Claims: 3	102	\$ 84	0	\$ 0

Subtotal For Extra Claims Fees: \$ 0